

**NC DIVISION MH/DD/SAS**  
**CAP REVIEW**  
**2010**  
**PERSON CENTERED PLAN**  
**AUDITOR GUIDELINES**

**Q1 – CNR PROCESS:**

The CNR (continued need review) is the process of developing the individual's person centered plan. This process is to have been completed by the end of the individual's birth month (i.e. If you were born on September 15<sup>th</sup>, your CNR process needed to be completed by September 30<sup>th</sup>). Review the PCP for dated signatures of the QP and the legally responsible person.

Ratings:

- If signatures are prior to or on the last day of the birth month, rate the question a "4".
- If signatures are after the last day of the birth or there are no signatures, rate the question a "0".

**Q2 – CHOICE OF PROVIDERS:**

On the signature page of the PCP, there are several statements that require a checkmark and signature to indicate they have read/agreed to the information noted. Review the signature page to ensure that the legally responsible person (LRP) has checked the box indicating that they understand that they have a choice of service providers and have signed in the appropriate place.

Ratings:

- If the LRP has checked the box and signed the form, rate this question a "4".
- If either or both elements above are missing, rate this question a "0"

**Q3 – CHOICE OF SERVICES:**

On the signature page of the PCP, there are several statements that require a checkmark and signature to indicate they have read/agreed to the information noted. Review the signature page to ensure that the legally responsible person has checked the box indicating that they understand that they have a choice of seeking services in an ICF-MR facility instead of CAP waiver services and have signed in the appropriate place.

Ratings:

- If the LRP has checked the box and signed the form, rate this question a "4".
- If either or both elements above are missing, rate this question a "0"

**Q4 – PCP REFLECTS NEEDS AND PREFERENCES:**

Review the PCP to determine the expressed/noted needs and preferences of the individual. You may also review assessments and other documents related to the development of the PCP to determine needs/preferences.

Ratings:

- If the needs/preferences are adequately addressed in the PCP, rate the question a “4”.
- If needs/preferences are not fully addressed or some are not noted/addressed, rate the question a “2”.
- If the needs/preferences are mostly ignored or not addressed, rate the question a “0”.

**Q5 – HEALTH AND SAFETY ISSUES:**

As noted in Implementation Update #54, the implementation of the use of the Risk Identification Tool began with Person Centered Plans due to be submitted in June 2009 for July birthdays. July birthdays have an implementation date of August 1, 2009. Any PCP in effect after August 1 should have a Risk Identification Tool. Review the health and safety issues noted on this tool and determine if they were addressed within the PCP.

Ratings:

- If the health and safety issues noted on the risk identification tool are adequately addressed in the PCP, rate the question a “4”.
- If they are not fully addressed or some are not noted/addressed, rate the question a “2”.
- If the health and safety issues are mostly ignored or not addressed, rate the question a “0”.
- If no Risk Identification Tool is required for the PCP reviewed, rate the question a “9”.

**Q6 – PLAN UPDATES:**

Indicate whether the PCP has been updated for any reason during the current plan year.

Ratings:

- If there was an update rate this question a “4”.
- If no update occurred, rate this question a “0”